



Case No. GCSD-1078 (51050)

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WASHINGTON, DC 20231

Mary Ann Russell
(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)
Mary Ann Russell
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

In re Application of: **FOX ET AL.**

Serial No.: **NOT YET ASSIGNED**

Filed: **HEREWITH**

For: **SYSTEM AND METHOD FOR ASSESSING THE SECURITY
POSTURE OF A NETWORK USING GOAL ORIENTED FUZZY
LOGIC DECISION RULES**

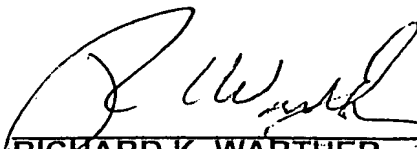
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JAN 30 2004

Transmitted herewith is an INFORMATION DISCLOSURE STATEMENT in the Technology Center 2100 above-identified application.

- ☒ This IDS is submitted under 37 C.F.R. § 1.97. No fee is required.
- ☐ This IDS is submitted under 37 C.F.R. § 1.97(c). Enclosed is a check in the amount of \$ 240.00.
- ☐ This IDS is submitted under 37 C.F.R. § 1.97(c) and (e). No fee is required.
- ☐ This IDS is submitted under 37 C.F.R. § 1.97(d) and (e). Enclosed is a check in the amount of \$ 130.00 to cover the petition fee.
- ☒ The Commissioner is hereby authorized to charge or credit any discrepancies in fee amounts to Deposit Account No. 01-0484.

Date: February 8, 2000



RICHARD K. WARTHER
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Orlando, Florida 32802-3791
PHONE: (407) 841-2330



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)
FOX ET AL.)
)
Serial No. 09/500,269)
)
Filing Date: February 8, 2000)
)
For: SYSTEM AND METHOD FOR)
ASSESSING THE SECURITY)
POSTURE OF A NETWORK USING)
GOAL ORIENTED FUZZY LOGIC)
DECISION RULES)
)

SUBMISSION OF AN INFORMATION
DISCLOSURE STATEMENT UNDER \$1.97(c) & (e)

Director, U.S. Patent and Trademark Office
Washington, DC 20231

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Technology Center 2100

Sir:

Attached is a form PTO-1449 listing several references which may be considered material to the examination of the above-identified application. A copy of each reference is also enclosed.

Pursuant to \$1.97(e), Applicants, by and through their undersigned attorney, certify pursuant to 37 CFR \$1.97(e) that either:

(1) each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or

(2) no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the

In re Patent Application of:
FOX ET AL.
Serial No. 09/500,269
Filing Date: 02/08/2000



certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement.

Applicants note that the article entitled, "The Network Vulnerability Tool (NVT) - A System Vulnerability Visualization Architecture," was authored by co-inventors, Ronda R. Henning and Kevin L. Fox, as part of their affiliation with the present assignee, Harris Corporation, and dated October 18, 1999.

Applicants respectfully request that the references cited herein be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97(c) and (e).

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Respectfully submitted, JAN 30 2004
Technology Center 2100

A handwritten signature in black ink, appearing to read "Richard K. Warther".

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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: **DIRECTOR, U.S. PATENT & TRADEMARK OFFICE, WASHINGTON, DC 20231**, on this 25th day of October, 2001.

A handwritten signature in black ink, appearing to read "Julie Lalan".



SERIAL/PATENT NO. 09/500,269
FILED/ISSUED 2-8-00
APPLICANT Fox et al.

KINDLY ACKNOWLEDGE RECEIPT OF ACCOMPANYING PAPERS WITH YOUR MAIL ROOM STAMP.

- ☐ \$ _____ check
- ☐ Authorization - Deposit Account No. _____
- ☐ Patent application transmittal with Certificate of Express Mail Label No. _____
(_____ pages, _____ claims, _____ drawings)
- ☐ CPA Request Transmittal Form
- ☐ Declaration and Power of Attorney
- ☐ Assignment w/Cover Sheet
- ☐ Verified Statement
- ☐ Response to Notice to File Missing Parts
- ☒ Citation Under 37 CFR §1.97 (IDS)
- ☒ Form PTO-1449 and Copies of Cited References
- ☐ Response to Restriction Requirement
- ☐ Amendment Transmittal Form
- ☐ Amendment Responsive to the Official Action of _____
- ☐ Request for Extension of Time (____ mos.)
- ☐ Notice of Appeal (\$310 large entity)
- ☐ Appellant's Appeal Brief (\$310 large entity)
- ☐ Transmittal of Formal Drawings (____ sheets)
- ☐ Part B -- Issue Fee Transmittal
- ☐ PCT Request (____ pp.) + Application (____ pp.)
- ☐ National Phase Transmittal Letter
- ☐ Certificate of Express Mail Label No. _____
- ☐ Response to PCT Invitation to Correct Defects
- ☐ Ch.II Demand
- ☐ Associate Power of Attorney
- ☐ Revocation of Prior Powers of Attorney and POA
- ☐ Petition Under 37 CFR §1.182 + \$130 Fee
- ☐ Terminal Disclaimer + \$110 Fee
- ☐ Request for Correction to Filing Receipt
- ☐ Request for Correction to Assignment and/or cover
- ☐ Transmittal of Certified Copy of Priority Document
- ☐ Preliminary Amendment
- ☐ Submission of Proposed Drawing Modification
- ☐ Request Certificate of Correction + PTO 1050

12/26/01 51050 Harris
DATE FILE NO.

R K W
ATTORNEY

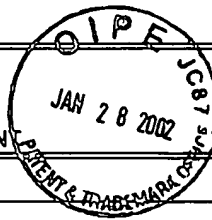
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**FORM PTO-1449
LIST OF PATENTS AND
APPLICANT'S INFORMATION DISCLOSURE STATEMENT**



ATTORNEY DOCKET NO.: GCSD-1078 (51050)

SERIAL NO.: 09/500,269

FILING DATE: February 8, 2000

APPLICANT: FOX ET AL.

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Technology Center 2100

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,812,763	09/22/98	Teng	395	187.01	
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION Yes - No
	AM	WO 99/56195	04.11.1999	PCT	G06F1	00	
	AN						

OTHER ART

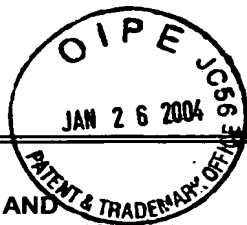
(Including Author, Title, Date, Pertinent Pages, etc.)

	AO		
	AP		

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; * Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449
LIST OF PATENTS AND
APPLICANT'S INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: GCSD-1078 (51050)

SERIAL NO.: 09/500,269

FILING DATE: February 8, 2000

APPLICANT: FOX ET AL.

EXAMINER: T. Ho

ART UNIT: 2134

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,751,965	05/12/98	Mayo et al.	395	200.54	
	AB	5,787,235	07/28/98	Smith et al.	395	50	
	AC	6,020,889	02/01/00	Tarbox et al.	345	356	
	AD	6,301,668	10/09/01	Gleichauf et al.	713	201	
	AE	6,324,656	11/27/01	Gleichauf et al.	714	37	
	AF	6,415,321	07/02/02	Gleichauf et al.	709	224	
	AG	6,499,107	12/24/02	Gleichauf et al.	713	201	
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FOREIGN PATENT DOCUMENTS

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OTHER ART

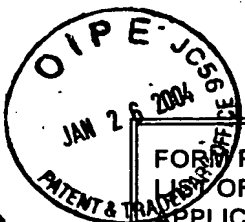
(Including Author, Title, Date, Pertinent Pages, etc.)

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ATTORNEY DOCKET NO.: GCSD-1078 (51050)	
SERIAL NO.: 09/500,269	FILING DATE: February 8, 2000
APPLICANT: FOX ET AL.	GROUP:

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,684,957	11/04/97	Kondo et al.	395	200.06	
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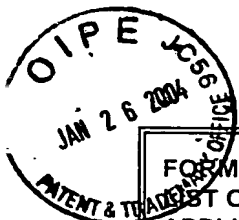
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FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION Yes -- No
	AM	0 961 440 A2	01.12.1999	EP	H04L12	24	
	AN						

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)			
	AO		Henning et al., "The Network Vulnerability Tool (NVT) - A System Vulnerability Visualization Architecture," U.S. Government Publication Release Authority, October 18, 1999, pp. 98-111.
	AP		

EXAMINER:	DATE CONSIDERED:
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FORM PTO-1449
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	AA	5,812,763	09/22/98	Teng	395	187.01	
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